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| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER 11321-P077WOUS U.S. APPLICATION NO. (if known, see 37 CFR 1.53) TO BE ASSIGNED 10/575352 |
| INTERNATIONAL APPLICATION NO. PCT/US2004/34002 | INTERNATIONAL FILING DATE 14 OCTOBER 2004 (14.10.2004) | PRIORITY DATE CLAIMED 14 OCTOBER 2003 (14.10.2003) |
| TITLE OF INVENTION AMPLIFICATION OF CARBON NANOTUBES VIA SEEDED-GROWTH METHODS | | |
| APPLICANT(S) FOR DO/EO/US WILLIAM MARSH RICE UNIVERSITY | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). | | |

| U.S. APPLICATION NO. (if known, see 37 CFR 1.51) 10/675352 TO BE ASSIGNED | INTERNATIONAL APPLICATION NO. PCT/US2004/34002 | ATTORNEY'S DOCKET NUMBER 11321-P077WOUS | | | | | | | | | | |
|--|---|--|---|--------------|---|-----------|-----------|---------|---|--|-------------|--|
| 20. Other items or information: CHECK; RETURN POSTCARD | | | | | | | | | | | | |
| The following fees have been submitted | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: left;">CALCULATIONS</th> <th style="text-align: left;">PTO USE ONLY</th> </tr> </table> | CALCULATIONS | PTO USE ONLY | | | | | | | | |
| CALCULATIONS | PTO USE ONLY | | | | | | | | | | | |
| 21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 300.00</td> <td style="width: 40%;"></td> </tr> </table> | | \$ 300.00 | | | | | | | | | |
| \$ 300.00 | | | | | | | | | | | | |
| 22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 200.00</td> <td style="width: 40%;"></td> </tr> </table> | | \$ 200.00 | | | | | | | | | |
| \$ 200.00 | | | | | | | | | | | | |
| If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations..... \$200 | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 200.00</td> <td style="width: 40%;"></td> </tr> </table> | \$ 200.00 | | | | | | | | | |
| \$ 200.00 | | | | | | | | | | | | |
| 23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400 All other situations..... \$500 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 400.00</td> <td style="width: 40%;"></td> </tr> </table> | | \$ 400.00 | | | | | | | | | |
| \$ 400.00 | | | | | | | | | | | | |
| TOTAL OF 21, 22 and 23 = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">900.00</td> <td style="width: 40%;"></td> </tr> </table> | 900.00 | | | | | | | | | |
| 900.00 | | | | | | | | | | | | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;"></td> <td style="width: 40%;"></td> </tr> </table> | | | | | | | | | | |
| | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;">Total Sheets</th> <th style="width: 20%;">Extra Sheets</th> <th style="width: 30%;">Number of each additional 50 or fraction thereof (round up to a whole number)</th> <th style="width: 30%;">RATE</th> </tr> <tr> <td>- 100 =</td> <td>/50 =</td> <td></td> <td>x \$250</td> </tr> </table> | Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | - 100 = | /50 = | | x \$250 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;"></td> </tr> </table> | | \$ | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | | | | | | | | |
| - 100 = | /50 = | | x \$250 | | | | | | | | | |
| \$ | | | | | | | | | | | | |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)). | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;"></td> </tr> </table> | \$ | | | | | | | | | |
| \$ | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 30%;">RATE</th> </tr> <tr> <td>Total claims</td> <td>78 - 20 =</td> <td>58</td> <td>x \$ 50</td> </tr> </table> | CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | Total claims | 78 - 20 = | 58 | x \$ 50 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 2,900.00</td> <td style="width: 40%;"></td> </tr> </table> | | \$ 2,900.00 | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | | | | | | | | |
| Total claims | 78 - 20 = | 58 | x \$ 50 | | | | | | | | | |
| \$ 2,900.00 | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;">Independent claims</th> <th style="width: 20%;">7 - 3 =</th> <th style="width: 20%;">4</th> <th style="width: 30%;">x \$200</th> </tr> </table> | Independent claims | 7 - 3 = | 4 | x \$200 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 800.00</td> <td style="width: 40%;"></td> </tr> </table> | | \$ 800.00 | | | | | |
| Independent claims | 7 - 3 = | 4 | x \$200 | | | | | | | | | |
| \$ 800.00 | | | | | | | | | | | | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;"></td> </tr> </table> | \$ | | | | | | | | | |
| \$ | | | | | | | | | | | | |
| TOTAL OF ABOVE CALCULATIONS = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 4,600.00</td> <td style="width: 40%;"></td> </tr> </table> | \$ 4,600.00 | | | | | | | | | |
| \$ 4,600.00 | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;"></td> <td style="width: 40%;"></td> </tr> </table> | | | | | | | | | | |
| | | | | | | | | | | | | |
| SUBTOTAL = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 2,300.00</td> <td style="width: 40%;"></td> </tr> </table> | \$ 2,300.00 | | | | | | | | | |
| \$ 2,300.00 | | | | | | | | | | | | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;"></td> </tr> </table> | \$ | | | | | | | | | |
| \$ | | | | | | | | | | | | |
| TOTAL NATIONAL FEE = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;"></td> </tr> </table> | \$ | | | | | | | | | |
| \$ | | | | | | | | | | | | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;"></td> </tr> </table> | \$ | | | | | | | | | |
| \$ | | | | | | | | | | | | |
| TOTAL FEES ENCLOSED = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$ 2,300.00</td> <td style="width: 40%;"></td> </tr> </table> | \$ 2,300.00 | | | | | | | | | |
| \$ 2,300.00 | | | | | | | | | | | | |
| | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Amount to be refunded:</td> <td style="width: 40%;">\$</td> </tr> </table> | Amount to be refunded: | \$ | | | | | | | | |
| Amount to be refunded: | \$ | | | | | | | | | | | |
| | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Amount to be charged</td> <td style="width: 40%;">\$</td> </tr> </table> | Amount to be charged | \$ | | | | | | | | |
| Amount to be charged | \$ | | | | | | | | | | | |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☒ A check in the amount of \$ 2,300.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 23-2426 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-2426. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Ross Spencer Garsson
Winstead Sechrest & Minick P.C.
P.O. Box 50784
Dallas, Texas 75201
Tel: (512) 370-2870
Fax: (214) 745-5390


SIGNATURE

EDWARD T. MICKELSON

NAME

50,413

REGISTRATION NUMBER

Attorney Docket No.
11321-P077WOUS

10/575352
IAP15 Rec'd PCT/PTO 11 APR 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE


In re Application of: Smalley et al.
Serial No: To Be Assigned
International Filing Date: October 14, 2004
International Appl. No. PCT/US2004/34002
Title: *Amplification of Carbon Nanotubes Via Seeded-Growth Methods*

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF EXPRESS MAILING

Express Mailing Label Number: EL812637729US

This package, including a Transmittal Letter to the United States DO/EO/US Concerning a Submission Under 35 U.S.C. 371, a Preliminary Amendment, an Application Data Sheet, a check and return postcard is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, and this package is being deposited with the U.S. Postal Service with sufficient postage as "Express Mail Post Office to Addressee" service, on April 11, 2006.

By: 
Printed: Jeanne E. Dunn

WINSTEAD SECHREST & MINICK, P.C.

P.O. Box 50784
Dallas, Texas 75201
Tel: (713) 650-2632
Fax: (214) 745-5390